



**The Commonwealth of Massachusetts**  
William Francis Galvin, Secretary of the Commonwealth  
Securities Division

**AFFIDAVIT FOR AN INDIVIDUAL SEEKING INVESTMENT ADVISER REGISTRATION**  
**IN ACCORDANCE WITH THE EMERGENCY ORDER DATED MARCH 24, 2020**

The affidavit is made and filed with the Office of the Secretary of the Commonwealth, Massachusetts Securities Division for the purpose of completing the application to register the below-named individual as an investment adviser representative of the below-named investment adviser in Massachusetts, in compliance with the Emergency Order issued by the Secretary of the Commonwealth on March 24, 2020 (as extended) and the Emergency Notice issued by the Division on March 24, 2020 (as extended).

The undersigned submits this affidavit pursuant to the Emergency Order issued by the Division on

\_\_\_\_\_ to register \_\_\_\_\_ (the "Applicant") as an investment adviser

representative of \_\_\_\_\_ in Massachusetts. In connection with this application, undersigned represents the following:

- (a) The Applicant has submitted all components of the application as set out in 950 CMR 12.205(2)(d) other than a notarized CORI form;
- (b) Within 10 days after the end of the Emergency Order issued on March 24, 2020 (as extended), the Applicant will submit a notarized CORI form to the Division;
- (c) The Applicant understands that, upon receipt of the notarized CORI form, the Division will use the CORI form to obtain the Applicant's Criminal Offender Record Information; and
- (d) The Applicant understands that pursuant to its authority under M.G.L. c. 110A, § 204, the Division may suspend, revoke, or take any other appropriate action with respect to the Applicant's registration based on its findings in the Applicant's Criminal Offender Record Information.

Signed under the penalties of perjury this \_\_\_\_\_ day of \_\_\_\_\_, 2020.

\_\_\_\_\_  
Signature of Affiant